

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: **KENTUCKY** Filings Made During the Year 2010

| (1) Check- List | (2) Line # | (3) REQUIRED FILING FOR THE ABOVE STATE | (4) NUMBER OF COPIES* | | | (5) DUE DATE | (6) FORM SOURCE** | (7) APPLICABLE NOTES |
|-----------------------|------------------|---|--------------------------|------|---------|-------------------|-------------------------|----------------------------|
| | | | Domestic | | Foreign | | | |
| | | | State | NAIC | State | | | |
| | | I. NAIC FINANCIAL STATEMENTS | | | | | | |
| | 1 | Annual Statement (8 1/2" x 14") | XXX | EO | XXX | 3/1 | NAIC | |
| | 1.1 | Printed Investment Schedule detail (Pages E01-E27) | XXX | EO | xxx | 3/1 | NAIC | |
| | 2 | Quarterly Financial Statement (8 1/2" x 14") | XXX | EO | XXX | 5/15, 8/15, 11/15 | NAIC | |
| | | | | | | | | |
| | | II. NAIC SUPPLEMENTS | | | | | | |
| | 11 | Investment Risk Interrogatories | XXX | EO | XXX | 4/1 | NAIC | |
| | 12 | Management Discussion & Analysis | XXX | EO | XXX | 4/1 | Company | |
| | 13 | Schedule SIS | XXX | N/A | N/A | 3/1 | NAIC | |
| | 14 | Statement of Actuarial Opinion | XXX | EO | XXX | 3/1 | Company | |
| | 15 | Supplemental Compensation Exhibit | XXX | N/A | N/A | 3/1 | NAIC | |
| | 16 | Supplemental Schedule of Business Written By Agency | XXX | EO | XXX | 4/1 | NAIC | |
| | | | | | | | | |
| | | III. ELECTRONIC FILING REQUIREMENTS | | | | | | |
| | 50 | Annual Statement Electronic Filing | xxx | 1 | xxx | 3/1 | NAIC | |
| | 51 | March .PDF Filing | xxx | 1 | xxx | 3/1 | NAIC | |
| | 52 | Supplemental Electronic Filing | xxx | 1 | xxx | 4/1 | NAIC | |
| | 53 | Supplemental .PDF Filing | xxx | 1 | xxx | 4/1 | NAIC | |
| | 54 | Quarterly Statement Electronic Filing | xxx | 1 | xxx | 5/15, 8/15, 11/15 | NAIC | |
| | 55 | Quarterly .PDF Filing | xxx | 1 | xxx | 5/15, 8/15, 11/15 | NAIC | |
| | 56 | June .PDF Filing | xxx | 1 | xxx | 6/1 | NAIC | |
| | | | | | | | | |
| | | IV. AUDITED FINANCIAL STATEMENTS | | | | | | |
| | 71 | Accountants Letter of Qualifications | XXX | EO | N/A | | Company | |
| | 72 | Audited Financial Statements | XXX | EO | XXX | 6/1 | Company | |
| | 73 | Audited Financial Statements Exemption Affidavit | XXX | N/A | N/A | | Company | |
| | 74 | Independent CPA | XXX | N/A | N/A | | Company | |
| | 75 | Notification of Adverse Financial Condition | XXX | N/A | N/A | | Company | |
| | 76 | Report of Significant Deficiencies in Internal Controls | XXX | N/A | N/A | | Company | |
| | 77 | Request for Exemption to File | XXX | N/A | N/A | | Company | |
| | | | | | | | | |
| | | V. STATE REQUIRED FILINGS | | | | | | |
| | 101 | Filings Checklist (with Column 1 completed) | XXX | 1 | XXX | | State | |
| | 102 | State Filing Fees | XXX | 0 | 1 | 3/1 | State | C |
| | 103 | Signed Jurat | Xxx | xxx | 1 | 3/1 | NAIC | L |
| | 104 | Certificate on Advertising | XXX | N/A | 1 | 3/1 | State | |
| | 105 | Certificate of Deposit | XXX | N/A | 1 | 3/1 | State | |
| | 106 | Premium Tax | XXX | N/A | See "D" | 3/1 | State | D |
| | 107 | | | | | | | |
| | 108 | | | | | | | |
| | 109 | | | | | | | |

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state. EO (electronic only filing).

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

| | NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS) | |
|---|--|---|
| A | Required Filings Contact Person: | Janet M. Klapheke Or Cecilia Webber (502) 564-6082 |
| B | Mailing Address: FOR HAND OR OVERNIGHT DELIVERIES ONLY: Kentucky Department of Insurance, 215 West Main Street, Frankfort, KY 40601, Attention: Financial Standards and Examination Division | KY Department of Insurance P. O. Box 517 Frankfort, KY 40602-0517 |
| C | Mailing Address for Filing Fees: RENEWAL FEES ARE TO BE PAID ONLINE. CLICK ON eSERVICE ON OUR WEB SITE, http://doi.ppr.ky.gov/kentucky/. USER NAME AND PASSWORD WERE SENT TO ANNUAL STATEMENT CONTACT PERSON. <u>NOTE: Your E-Service information is not the same each year. You will be assigned new information to complete your filings.</u> | KY Department of Insurance P. O. Box 517 Frankfort, KY 40602-0517 |
| D | Mailing Address for Premium Tax Payments: Premium Tax Forms are available on the Department of Revenue's Web site, http://revenue.ky.gov/forms. Click on "Current Year Forms." | Department of Revenue P. O. Box 1303 Frankfort, KY 40602-1303 or Department of Revenue 501 High Street Frankfort, KY 40601 Telephone: 502/564-4810 |
| E | Delivery Instructions: | All filings must be postmarked no later than the indicated due date, even if the due date falls on a weekend or holiday. |
| F | Late Filings: | Companies will be fined \$100 per day for a late filing, provided an extension has been granted. In cases where an extension has not been granted, an additional civil penalty of \$1,000 may be assessed. |
| G | Original Signatures: | Original signatures required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions regarding signatures. |
| H | Signature/Notarization/Certification: | Per KRS 304.3-240(1) – shall be verified by the oaths of at least two of the insurers' principal Departmenters. |
| I | Amended Filings: | DOMESTIC ONLY: Amended items must be filed within 10 days of the amendment, along with an explanation of the amendment. If |

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| | | | there are signature requirements for the original filing, same should be followed for the amendment. |
| | J | Exceptions from normal filings: | Foreign companies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing due date to receive such from Kentucky. Domestic companies should apply at least 30 days prior to the due date. |
| | K | Bar Codes (State or NAIC): | Please follow the NAIC Annual Statement Instructions. |
| | L | Signed Jurat: | Foreign companies must file a copy of the Signed Jurat Page for the Annual Statement with Kentucky by 3/1. |
| | M | NONE Filings: | Please follow the NAIC Annual Statement Instructions. |
| | N | Filings new, discontinued or modified materially since last year: | For all companies, see Note P and Q. |
| | O | Notification of Adverse Financial Condition | Notice of Adverse Financial Condition is due 5 business days after receipt of the accountant's report and must be sent to: David Howe Early Warning Analyst Kentucky Department of Insurance P. O. Box 517 Frankfort, KY 40602-0517 |
| | P | Kentucky Annual Filing Instructions | For additional instructions, please see the Kentucky Annual Filing Instructions listed on our web site directly above the NAIC checklist for each type of entity. |
| | Q | Changes to Company Information on web site | Please verify that the information listed on our web site for the company is correct. Any changes should be made within 30 days of the change and should be filed on the appropriate forms – NAIC UCCA Corporate Amendment Application, Form 12 Service of Process, Form 14 Address and Contact Change. Biographical affidavit must be submitted for |

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| | | | new president only. |
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**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC. Companies are not required to file hard copy filings with the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The *Annual Statement Electronic Filing* includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March .PDF Filing* is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1.

The *Supplemental Electronic Filing* includes all supplements due April 1, per the *Annual Statement Instructions*.

The *Supplemental .PDF Filing* is the .pdf file for all supplements due April 1.

The *Quarterly Electronic Filing* includes the quarterly statement data.

The *Quarterly .PDF Filing* is the .pdf for quarterly statement data.

The *June .PDF Filing* is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: "NAIC," "State," or "Company," If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions

(generally, on its web site). If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.